

1 GARY LYNCH
2 **CARLSON LYNCH, LTD.**
3 36 N. Jefferson Street
4 New Castle, PA 16107
5 Telephone: (724) 656-1555
6 Facsimile: (724) 656-1556

7 **Attorneys for Plaintiffs**

8 KATHERINE M. FORSTER
9 **MUNGER, TOLLES & OLSON**
10 355 South Grand Avenue, 35th Floor
11 Los Angeles, CA 90071
12 Telephone: (213) 683-9100
13 Facsimile: (213) 687-3702

14 **Attorneys for Defendant**

15 **UNITED STATES DISTRICT COURT**
16 **FOR THE WESTERN DISTRICT OF PENNSYLVANIA**

17 MARK BATTALINE and VINCENT ROSS,) Civil Action No. 06-569
18 individually and on)
19 behalf of themselves and others)
20 similarly situated)
21 Plaintiffs,)
22 v.)
23 ADVEST, INC.,)
24 Defendant.)

25 **DECLARATION OF SERVICE OF CAFA NOTICE**

1 I, Jonathan D. Paul, declare as follows:

2 I am a Senior Project Administrator for Rust Consulting, Inc. ("Rust"). My business address is
3 625 Marquette Avenue, Suite 880, Minneapolis, Minnesota 55402-2469. My telephone number is 612-
4 359-2088. I am over twenty-one years of age and am authorized to make this declaration on behalf of
5 Rust and myself.

6 On October 1, 2008, Rust served upon the Appropriate State Entities listed below, the following
7 documents:

8 1. A copy of the Class Action Complaint filed on April 28, 2006 and the First Amended
9 Collective and Class Action Complaint filed in the above-captioned matter filed on July 10, 2007, which
10 is the current complaint in this litigation, and the Stipulation permitting the filing of the First Amended
11 Complaint;

12 2. The parties' motion for preliminary approval and supporting papers, filed on July 5,
13 2007; which include the Stipulation re: Settlement of Class and Collective Actions;

14 3. The Court's request for supplemental briefing dated October 2, 2007;

15 4. The parties' supplemental briefing, filed on October 22, 2007;

16 5. The Court's minute entry, entered on January 8, 2008, for hearing on class action
17 certification and settlement held on January 7, 2008;

18 6. Notices of Supplemental Authority filed on January 9, 2008; February 27, 2008; March 5,
19 2008; and March 6, 2008;

20 7. Response submitted January 9, 2008, regarding settlement response options by state;

21 8. Memorandum and Order granting in part and denying in part the parties' Joint Motion for
22 Preliminary Approval of Class Action Settlement, dated March 20, 2008;

23 9. Notice of filing of Revised Proposed Notice, filed April 4, 2008;

24 10. Order re Proposed Notice Plan and Class Mail Notice and setting final approval hearing,
25 dated April 8, 2008;

26 11. The parties' report to the Court regarding additional Class Members, filed on June 24,
27 2008;

28 12. The Court's order approving the parties' plan to address the issue of notice to the

1 additional Class Members, dated June 30, 2008;

2 13. A list of the names by state of each Class Member, including his or her number of
3 Qualifying Work Months and proportionate share of the claims of the Class Members by state under the
4 proposed settlement;

5 14. The parties' joint motion for final approval and supporting papers, filed September 5,
6 2008;

7 15. The Court's minute entry for hearing to approve class action settlement entered on
8 September 15, 2008;

9 16. The Court's order for joint motion for final approval and judgment, entered on September
10 16, 2008;

11 17. The parties' joint request to stay the effectiveness of the judgment in order to allow
12 compliance with CAFA, filed September 30, 2008; and

13 18. The Court's order approving the parties' plan to ensure CAFA compliance, entered on
14 October 1, 2008.

15 The documents above were copied on to a CD ROM along with other information pertinent to
16 the settlement and sent to the following State entities:

17 18 19 20	HON. TERRY GODDARD ARIZONA OFFICE OF THE ATTORNEY GENERAL 1275 WEST WASHINGTON STREET PHOENIX AZ 85007	HON. EDMUND G BROWN CALIFORNIA ATTORNEY GENERAL 1300 I ST, SUITE 1740 SACRAMENTO, CA 95814
21 22 23	HON. JOHN SUTHERS COLORADO OFFICE OF THE ATTORNEY GENERAL 1525 SHERMAN ST. 5TH FLOOR DENVER, CO 80203	HON. RICHARD BLUMENTHAL CONNECTICUT OFFICE OF THE ATTORNEY GENERAL 55 ELM STREET HARTFORD, CT 06141
24 25 26 27	HON. BILL MCCOLLUM FLORIDA OFFICE OF THE ATTORNEY GENERAL THE CAPITOL PL-01 TALLAHASSEE, FL 32399	HON. LISA MADIGAN ILLINOIS OFFICE OF THE ATTORNEY GENERAL 100 WEST RANDOLPH STREET STE 12 JAMES R THOMPSON CTR CHICAGO, IL 60601

HON. JACK CONWAY KENTUCKY OFFICE OF THE ATTORNEY GENERAL 700 CAPITOL AVE - CAPITOL BUILDING STE 118 FRANKFORT, KY 40601	HON. MARTHA COAKLEY MASSACHUSETTS OFFICE OF THE ATTORNEY GENERAL 1 ASHBURTON PLACE BOSTON, MA 02108
HON. DOUGLAS F. GANSLER MARYLAND OFFICE OF THE ATTORNEY GENERAL 200 ST. PAUL PLACE BALTIMORE, MD 21202	HON. G. STEVEN ROWE MAINE OFFICE OF THE ATTORNEY GENERAL 6 STATE HOUSE STATION AUGUSTA, ME 04333
HON. ROY COOPER NORTH CAROLINA OFFICE OF THE ATTORNEY GENERAL DEPT. OF JUSTICE P.O. BOX 629 RALEIGH, NC 27602	HON. KELLY A. AYOTTE NEW HAMPSHIRE OFFICE OF THE ATTORNEY GENERAL 33 CAPITOL STREET CONCORD, NH 03301
HON. ANNE MILGRAM NEW JERSEY OFFICE OF THE ATTORNEY GENERAL RICHARD J HUGHES JUSTICE COMPLEX 25 MARKET ST CN 080 TRENTON, NJ 08625	HON. ANDREW CUOMO NEW YORK OFFICE OF THE ATTORNEY GENERAL DEPT OF LAW - THE CAPITOL, 2ND FL ALBANY, NY 12224
HON. NANCY ROGERS OHIO OFFICE OF THE ATTORNEY GENERAL STATE OFFICE TOWER 30 E. BROAD ST. COLUMBUS, OH 43266	HON. TOM CORBETT PENNSYLVANIA OFFICE OF THE ATTORNEY GENERAL 1600 STAWBERRY SQ HARRISBURG, PA 17120
HON. PATRICK C. LYNCH RHODE ISLAND OFFICE OF THE ATTORNEY GENERAL 150 SOUTH MAIN STREET PROVIDENCE, RI 02903	HON. MARK L. SHURTLEFF UTAH OFFICE OF THE ATTORNEY GENERAL STATE CAPITOL, RM. 236 SALT LAKE CITY, UT 84114
HON. BOB MCDONNELL VIRGINIA OFFICE OF THE ATTORNEY GENERAL 900 EAST MAIN STREET RICHMOND, VA 23219	HON. WILLIAM H. SORRELL VERMONT OFFICE OF THE ATTORNEY GENERAL 109 STATE STREET MONTPELIER, VT 05609
JAMES SALKELD DIRECTOR DEPARTMENT OF LABOR 10421 W. MARKHAM LITTLE ROCK, AR 72205	VICTORIA BRADSHAW DIRECTOR LABOR AND AND WORKFORCE DEVELOPMENT AGENCY 445 GOLDEN GATE AVE., 10TH FL SAN FRANCISCO, CA 94102

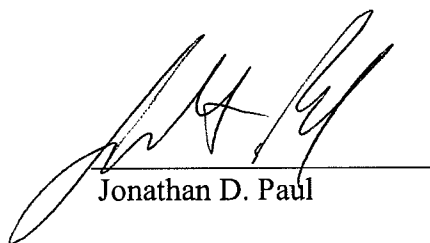
1 2 3 4	DONALD J. MARES EXECUTIVE DIRECTOR DEPARTMENT OF LABOR AND EMPLOYMENT 633 17TH ST., 2ND FL DENVER, CO 80202-3660	PATRICIA H. MAYFIELD COMMISSIONER DEPARTMENT OF LABOR 200 FOLLY BROOK BLVD. WETHERSFIELD, CT 06109-1114
5 6 7	MONESIA T. BROWN DIRECTOR AGENCY FOR WORKFORCE INNOVATION CALDWELL BLDG., SUITE 100 107 EAST MADISON ST. TALLAHASSEE, FL 32399-4120	CATHERINE M. SHANNON DIRECTOR DEPARTMENT OF LABOR 160 N. LASALLE STREET 13TH FL, SUITE C-1300 CHICAGO, IL 60601
8 9 10	PHILIP ANDERSON COMMISSIONER DEPARTMENT OF LABOR 1047 U.S. HWY 127 SOUTH, SUITE 4 FRANKFORT, KY 40601-4381	LAURA FORTMAN COMMISSIONER DEPARTMENT OF LABOR 45 COMMERCE STREET AUGUSTA, ME 4332
11 12 13	TOM PEREZ SECRETARY DEPARTMENT OF LABOR AND INDUSTRY 500 N. CALVERT STREET, SUITE 401 BALTIMORE, MD 21202	GEORGE NOEL DIRECTOR OF LABOR & WORK FORCE DEVELOPMENT 1 ASHBURTON PLACE, RM 2112 BOSTON, MA 02108
14 15 16	GEORGE N. COPADIS COMMISSIONER DEPARTMENT OF LABOR 95 PLEASANT STREET CONCORD, NH 03301	DAVID SOCOLOW COMMISSIONER DEPARTMENT OF LABOR 13TH FLOOR, SUITE D P.O. BOX 110 TRENTON, NJ 08625-0110
17 18 19 20	M. PATRICIA SMITH COMMISSIONER DEPARTMENT OF LABOR STATE OFFICE, BLDG 12, W.A. HARRIMAN CAMPUS ALBANY, NY 12240-0003	CHERIE K. BERRY COMMISSIONER DEPARTMENT OF LABOR 4 WEST EDENTON STREET RALEIGH, NC 27601-1092
21 22 23	KIMBERLY A. ZURZ DIRECTOR DEPARTMENT OF COMMERCE 77 S. HIGH ST., 22ND FL COLUMBUS, OH 43215	STEPHEN M. SCHMERIN DIRECTOR DEPARTMENT OF LABOR & INDUSTRY 1700 LABOR AND INDUSTRY BLDG. 7TH AND FORSTER ST. HARRISBURG, PA 17120
24 25 26 27	ADELITA S. OREFICE DIRECTOR DEPARTMENT OF LABOR & TRAINING 1511 PONTIAC AVENUE CRANSTON, RI 02920	SHERRIE HAYASHI COMMISSIONER UTAH LABOR COMMISSION P.O. BOX 146610 SALT LAKE CITY, UT 84114-6610

PATRICIA MOULTON POWDEN
COMMISSIONER DEPARTMENT OF
LABOR
5 GREEN MOUNTAIN DRIVE P.O. BOX
488
MONTPELIER, VT 05602-0488

C. RAY DAVENPORT
COMMISSIONER DEPARTMENT OF
LABOR AND INDUSTRY
POWERS-TAYLOR BUILDING 13 S. 13TH
ST.
RICHMOND, VA 23219

The settling parties have agreed that a notice containing the above information shall be sufficient to satisfy the terms of 28 U.S.C. § 1715.

I declare under penalty of perjury under the laws of the United States that the above is true and correct to the best of my knowledge and that this Declaration was executed this 3rd day of October 2008, at Minneapolis, MN.



Jonathan D. Paul